

**Naval Postgraduate School  
Office of the Associate Provost and Dean of Research  
Office of the Associate Provost for Academic Affairs**

**PROPOSAL GUIDELINES**

1. GENERAL GUIDANCE: In order to propose work to an activity external to NPS, a document (the proposal) must be prepared detailing the work to be accomplished and the deliverable to be provided. A proposal is required for all sponsored programs. A proposal should present:

- the objectives, significance, and relevance of the proposed work to NPS, DoN or DoD interests or to the interests of another external sponsor
- the methodology to be used and a description of the deliverable that will result
- the way in which NPS graduate students will be involved in the project and the curricula supported by the proposed work
- the qualifications of the Principal Investigator(s) or Program Managers
- a summary of work accomplished on previous related sponsored projects
- resource and personnel needs and an explanation of specific budgetary items.

A proposal narrative or statement of work **must** contain an **objective** and **deliverable**. A proposal should be prepared with the same care and thoroughness given to preparing a research paper. The scholarly merits of the proposal as well as its relevance to NPS programs and other DoN/DoD interests should be presented clearly and convincingly.

2. PROPOSAL DESCRIPTION: Each proposal should consist of the following parts:

- Standard NPS signature page
- Statement of work (including **objective** and **deliverable(s)**)
- Bibliography of pertinent literature
- Biographical sketches of all investigators
- Standard NPS budget page with explanation page (multi-year proposals require annual budgets as well as a summary budget)

At a minimum, a proposal **must** include an NPS signature page, statement of work (including objective and deliverable), and budget. Certain documentation, i.e., a memoranda of understanding/agreement, can substitute for the statement of work. In these cases, a signature page and budget will accompany the substituted "statement of work." A brief description of each component of a proposal follows:

- **Standard NPS Signature Page.** There is a standard format for NPS signature pages. The signature page records the review/approval process for proposed sponsored activities. Space is also provided for the objective of the project. This description should be written clearly since it may be circulated unchanged by the Research and Sponsored Programs Office (RSPO) to outside agencies to describe on-going work at NPS.
  - For proposals submitted through academic departments, the signature page should be signed by the Principal Investigator(s)/Program Managers(s) (PI/PM) and by each Department Chair (or School Dean in

the case of GSBPP) whose faculty are involved in a substantial way. Proposals will also be signed by the School Dean.

- Proposals by faculty belonging to a department/group/school submitted through an Institute or Center must be signed by the Principal Investigator, appropriate Department Chair (or Dean in the case of GSBPP), School Dean, and the Institute/Center Director before routing to the RSPO.
- Proposals from Centers should be signed by the Principal Investigator, the Center Director, Department/Group Chair of the Center Director, and appropriate School Dean or Institute Director before forwarding to the RSPO.
- Proposals from Institute faculty will be signed by the Institute Director.
- If a department requires the review of the Associate Chair for Research (Associate Dean for Research in the case of GBPP), then this signature should also be included on the signature page.

**Signature Page templates are available on line.**

- **Statement of Work.** While no specific format is required, each proposal must contain a general description of the proposed sponsored activity (research, education or service), its objectives, and its relationship to the state of knowledge in the field and to comparable work in progress elsewhere. Previous work should be reviewed. **A deliverable must be clearly defined.** A brief statement should also be included stating how the work supports the graduate education mission of the school. Specific curricula should be identified when appropriate.
- **Bibliography.** A listing of pertinent references is required. Preprints or reprints of research not yet available should be included if necessary to an understanding of the proposed research.
- **Biographical Sketches.** The qualifications and productivity of the Principal Investigator(s)/Program Managers are very important factors in the selection of proposals for support. For the Principal Investigators, Program Managers and senior staff, a short biography and list of major publications or other documentation of research productivity should be provided. A copy of the PI(s)/PM(s) and Co-PI(s)Co-PM(s), if applicable, curriculum vitae will suffice.

- **Budget.** The proposal will contain a budget. The proposal budget will detail the costs associated with completing the proposed work and providing the deliverable. The proposal may request funds under any of the categories listed on the budget page so long as the item is considered necessary to perform the proposed sponsored activity. Not all budget categories apply to every program. The need for each item should be evident in the body of the proposal. A Budget Explanation Page should be included with the budget detailing the specifics of the budget line items included on the Proposal Budget. Multi-year proposals should contain a separate budget for each fiscal year and a consolidated total budget.
- **Labor Costs.** Labor costs are divided into two categories, faculty and support staff (technician, programmer, etc.). Faculty proposed to work on sponsored projects must be identified by name. Support personnel may be identified by category (i.e., technician, etc.). Support levels requested for faculty and staff should be justified in terms of the proposed research effort. The level of effort by faculty and staff should be indicated in both both time (increment of work year or number of days) and dollar amount (costs). The actual cost of labor includes salary and a percentage of salary for leave and benefits. The percentage of salary for leave or benefits is often referred to as the “acceleration rate.” Current salary levels and labor acceleration rates may be obtained from the RSPO or the School SPFAs.
- **Travel.** Travel is divided into domestic, invitational, and foreign categories. The type and extent of travel and its relation to the proposed activities should be specified. Travel may be requested for field work, attendance at meetings and conferences, or other travel associated with the proposed sponsored activity. All travel must be in direct support of the proposed project. (NOTE: Travel to prospective sponsors is funded by Indirect bid and proposal funds. Travel to discuss future proposed work with a current sponsor can be funded from project funds.)
- **Other Direct Costs:** Other Direct Costs include: equipment, supplies, consummables, conference registration fees, honoraria, shipment of goods, etc. Other Direct Costs should be explained and equipment over \$2500 should be itemized on the Budget Explanation Page. Plans for equipment disposal and life-cycle maintenance support costs should be detailed.
- **Contracts.** This section should include all budgeted items whereby funds would be transferred outside of NPS via contract, Military Interdepartmental Purchase Request (MIPR), or NAVCOMPT 2275 (Order for Work or Services.) If funds are to be transferred outside of NPS, the purpose and the contribution of the transfer to the proposed work should be included in the narrative (Statement of Work) of the proposal. All transfers will be detailed on the Budget Explanation Page. As a rule, no more than 51% of reimbursable funds received may be transferred or "passed through" NPS. Please contact the RSPO if proposed work requires significant out-sourcing.

- **Indirect Costs:**

- All sponsored research proposals will contain an indirect cost to support those costs which are in support of research, but not directly chargeable to the research project. Authorized indirect costs incurred for the support of research projects at NPS are included in the research proposal budget and include such items as indirect staff labor, bid and proposal costs, page publication charges and symposium presentation travel subsequent to project completion.
- Proposals for instructional support, i.e., curriculum development, distance learning, student experience tours, are currently exempt (early FY03) from indirect costs if in direct support of the graduate education mission at NPS.
- An off-site indirect cost rate applies to sponsored research performed off-site. To determine if your project qualifies for the off-campus rate, please contact the RSPO.

**Budget Page templates are available on line.**

Note: Faculty should be aware that the RSPO removes the proposal budget page from the proposal and prepares a standard NPS "Request for Funds" page in its place. Faculty who want their budget page transmitted to the sponsor should notify the RSPO when the proposal is submitted. If you have questions pertaining to this policy, please contact the RSPO. Exceptions to this policy include proposals with specific submission requirements, i.e., National Science Foundation proposals. For these submissions, the requested budget format is submitted and the Request for Funds is omitted.

**The RSPO will provide assistance to faculty on the preparation of their budgets, interpretation of sponsor submission requirements, and/or guidance on proposal submission.**